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PTO/SB/05 (11-00)

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications
under 37 CFR 1.53(b))

Attorney Docket No.	480140.428D3
First Inventor	William A. Horne
Title	HUMAN BAD POLYPEPTIDES, ENCODING NUCLEIC ACIDS AND METHODS OF USE
Express Mail Label No.	EL897865945US

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 40]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. ☐ Oath or Declaration [Total Sheets 3]
- a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☒ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☒ Computer Readable Form (CRF)
 - b. ☒ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☒ paper
 - c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS



9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449
Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
Should be specifically itemized
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C.
Applicant must attach form 122(b)(2)(B)(i).
PTO/SB/35 or its equivalent.
17. ☒ Other: Check; Revocation and Substitute
Power of Attorney; Appointment of Associate
Power of Attorney; Filing Formal Drawings

18. If a CONTINUING APPLICATION OR APPLICATION CLAIMING FOREIGN PRIORITY, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) ☒ Claims priority from U.S. Application No. 09/376,154
Prior application information Examiner Thaia N. Ton Group Art Unit: 1632

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Correspondence address below		or:		<input checked="" type="checkbox"/> Customer Number or Bar Code Label	
Firm Name				 00500 PATENT TRADEMARK OFFICE	
Address					
City, State, Zip					
Country					
Telephone		Fax			
Name (Print/Type)	William T. Christiansen, Ph.D.		Registration No. (Attorney/Agent)	44,614	
Signature			Date	August 3, 2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) **710**

Complete if Known

Application Number
Filing Date **August 3, 2001**
First Named Inventor **William A. Horne**
Examiner Name
Group Art Unit
Attorney Docket No. **480140.428D3**

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **19-1090**
- Deposit Account Name **Seed Intellectual Property Law Group PLLC**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit any overpayment to Deposit Account Number above.
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$ 710)

2. EXTRA CLAIM FEES

				Extra Claims		Fee from below		Fee Paid
Total Claims	8	..** =	0	X		=		
Independent Claims	1	..** =	0	X		=		
Multiple Dependent				X		=		
<u>Large Entity</u>		<u>Small Entity</u>						
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description				
103	18	203	9	Claims in excess of 20				
102	80	202	40	Independent claims in excess of 3				
104	270	204	135	Multiple dependent claim, if not paid				
109	80	209	40	** <i>Reissue independent claims over original patent</i>				
110	18	210	9	** <i>Reissue claims in excess of 20 and over original patent</i>				
SUBTOTAL (2)				(\$ 0				

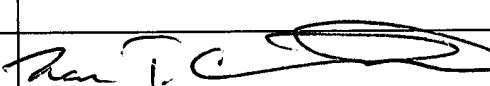
**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$ 0)

SUBMITTED BY

Name (Print/Type) **William T. Christiansen, Ph.D.** Registration No. **44,614**
Firm Name/Address
Signature  Date **August 3, 2001**



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PATENT TRADEMARK OFFICE

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10-11-01
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : William A. Horne et al.
Title : HUMAN BAD POLYPEPTIDES, ENCODING NUCLEIC ACIDS
AND METHODS OF USE
Docket No. : 480140.428D3
Filed : August 3, 2001

Date : August 3, 2001

Box Patent Application
Commissioner for Patents
Washington, DC 20231

FILING FORMAL DRAWINGS

Commissioner for Patents:

Enclosed are 5 sheets of formal drawings, Figures 1-4, for filing in the
above-identified application.

Respectfully submitted,
Seed Intellectual Property Law Group PLLC



William T. Christiansen, Ph.D.
Registration No. 44,614

WTC:rap
Enclosures:

Postcard
Formal Drawings (5 sheets, Figs. 1-4)

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